

Exhibit 300: Capital Asset Plan and Business Case Summary

Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: 2010-03-19 12:30:52

2. Agency: 015

3. Bureau: 04

4. Name of this Investment: BSA IT Modernization

5. Unique Project (Investment) Identifier: 015-04-01-12-01-1018-00

6. What kind of investment will this be in FY 2011?: Planning

- Planning
- Full Acquisition
- Operations and Maintenance
- Mixed Life Cycle
- Multi-Agency Collaboration

7. What was the first budget year this investment was submitted to OMB? *

8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap; this description may include links to relevant information which should include relevant GAO reports, and links to relevant findings of independent audits.

FinCEN's BSA IT Modernization initiative is a joint effort of FinCEN, IRS, and Treasury to provide a modernized information technology foundation to collect, analyze, and share Bank Secrecy Act (BSA) data. This investment directly supports FinCEN's goal of efficient management, safeguarding, and use of BSA information, consistent with its mandate to manage the government-wide IT systems for BSA data. It also supports Treasury's overall strategic goal to prevent terrorism and promote the nation's security through strengthened internal financial systems, and efforts of financial regulators to improve the safety and soundness of the financial system. FinCEN is the administrator of the Bank Secrecy Act, which allows stakeholders to combine this financial intelligence information with other information sources to address issues related to effectively managing the government's finances can also be used for issues related to securing economic and financial stability, such as detecting mortgage fraud, or instances of insider abuse or market manipulation. BSA data can also be used for issues related to securing economic and financial stability, such as detecting mortgage fraud, or instances of insider abuse or market manipulation. FinCEN faces the challenge of how to enable easier compliance and streamline BSA information capture for FinCEN's financial community stakeholders while maximizing the value and impact of BSA information for its regulator, law enforcement and intelligence community stakeholders. The BSA IT Modernization investment is targeted to address these challenges. This program will establish an enterprise-wide information management and analysis framework that will equip law enforcement and financial industry regulators with better decision-making abilities and increased value of BSA information through enhanced data integrity and analytical tools. This will allow law enforcement and regulators to focus their limited resources on the areas of shifting illicit criminal activities and vulnerabilities effecting the soundness and stability of the U.S. financial system. This investment will also enable easier compliance and streamline BSA information capture for FinCEN's financial community through the enhancement of e-filing and e-forms systems for filers, standardization of financial data with existing financial community standards, and more timely and useful feedback on BSA information filings and the use of BSA information.

- a. Provide here the date of any approved rebaselining within the past year, the date for the most recent (or planned) alternatives analysis for this investment, and whether this investment has a risk management plan and risk register.**

9. Did the Agency's Executive/Investment Committee approve this request? *

a. If "yes," what was the date of this approval? *

10. Contact information of Program/Project Manager?

- Name: *
- Phone Number: *
- Email: *

11. What project management qualifications does the Project Manager have? (per FAC-P/PM)? *

- Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment.
- Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.
- Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria.
- Project manager assigned but qualification status review has not yet started.
- No project manager has yet been assigned to this investment.

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

Financial management system name(s)	System acronym	Unique Project Identifier (UPI) number
*	*	*

a. If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one): *

- computer system security requirement;
- internal control system requirement;
- core financial system requirement according to FSIO standards;
- Federal accounting standard;
- U.S. Government Standard General Ledger at the Transaction Level;
- this is a core financial system, but does not address a FFMIA compliance area;
- Not a core financial system; does not need to comply with FFMIA

Section B: Summary of Funding (Budget Authority for Capital Assets)

1.

Table 1: SUMMARY OF FUNDING FOR PROJECT PHASES (REPORTED IN MILLIONS) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)									
	PY1 and earlier	PY 2009	CY 2010	BY 2011	BY+1 2012	BY+2 2013	BY+3 2014	BY+4 and beyond	Total
Planning:	*	*	*	*	*	*	*	*	*
Acquisition:	*	*	*	*	*	*	*	*	*
Subtotal Planning & Acquisition:	*	*	*	*	*	*	*	*	*
Operations & Maintenance:	*	*	*	*	*	*	*	*	*
Disposition Costs (optional):	*	*	*	*	*	*	*	*	*
SUBTOTAL:	*	*	*	*	*	*	*	*	*
Government FTE Costs should not be included in the amounts provided above.									
Government FTE Costs	*	*	*	*	*	*	*	*	*
Number of FTE represented by Costs:	*	*	*	*	*	*	*	*	*
TOTAL(including FTE costs)	*	*	*	*	*	*	*	*	*

2. If the summary of funding has changed from the FY 2010 President's Budget request, briefly explain those changes:

*

Section C: Acquisition/Contract Strategy (All Capital Assets)

1.

Table 1: Contracts/Task Orders Table

Contract or Task Order Number	Type of Contract/Task Order (In accordance with FAR Part 16)	Has the contract been awarded (Y/N)	If so what is the date of the award? If not, what is the planned award date?	Start date of Contract/Task Order	End date of Contract/Task Order	Total Value of Contract/Task Order (M)	Is this an Interagency Acquisition? (Y/N)	Is it performance based? (Y/N)	Competitively awarded? (Y/N)	What, if any, alternative financing option is being used? (ESPC, UESC, EUL, N/A)	Is EVM in the contract? (Y/N)
12 U.S.C. 391 - Designation of Fiscal Agent (FRBNY)	FFAA: Fiscal/Financial Agent Agreement	Y	2002-11-02	2003-01-15	2017-09-30	\$118.2	*	*	*	*	*
1406-04-08-CT-20244 (IDIQ)	T&M: Time & Materials	Y	2008-03-14	2008-03-14	2013-03-13	\$144.0	*	*	*	*	*
TIRNO-08-Z-00016	FFP: Firm Fixed Price	Y	2007-12-18	2007-12-18	2012-12-17	\$10.0	*	*	*	*	*
TIRNO-97-Z-00014	FFP: Firm Fixed Price	Y	2005-05-01	2005-06-01	2010-09-30	\$58.8	*	*	*	*	*

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

*

3. Is there an acquisition plan which reflects the requirements of FAR Subpart 7.1 and has been approved in accordance with agency requirements? *

a. If "yes," what is the date? *

Section D: Performance Information (All Capital Assets)

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2010	Prevented Terrorism and Promoted the Nation's Security Through Strengthened International Financial Systems	*	*	Average number of hours from receipt to availability for query or dissemination	120 hrs	120 Hrs	
2010	Prevented Terrorism and Promoted the Nation's Security Through Strengthened International Financial Systems	*	*	Number of steps to find initial useful information	40 Steps	40 Steps	
2010	Prevented Terrorism and Promoted the Nation's Security Through Strengthened International Financial Systems	*	*	Number of work days required to develop moderate impact forms change	230 days	230 days	
2010	Prevented Terrorism and Promoted the Nation's Security Through Strengthened International Financial Systems	*	*	Percent of BSA documents for which data is captured electronically, excludes forms CMIR, FBAR, and 8300 because jointly advertised with Customs and IRS	75% of BSA Documents	75 % of BSA Documents	
2010	Prevented Terrorism and Promoted the Nation's Security Through Strengthened International Financial Systems	*	*	Percent of customers who report overall satisfaction with the use of simple query/portal	76% of Customers	76% of Customers	
2011	Prevented Terrorism and Promoted the Nation's Security Through Strengthened International Financial Systems	*	*	Average number of hours from receipt to availability for query or dissemination	120 hrs	114 hrs	

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2011	Prevented Terrorism and Promoted the Nation's Security Through Strengthened International Financial Systems	*	*	Number of steps to find initial useful information	40 Steps	40 Steps	
2011	Prevented Terrorism and Promoted the Nation's Security Through Strengthened International Financial Systems	*	*	Number of work days required to develop moderate impact forms change	230 Days	230 Days	
2011	Prevented Terrorism and Promoted the Nation's Security Through Strengthened International Financial Systems	*	*	Percent of BSA documents for which data is captured electronically, excludes forms CMIR, FBAR, and 8300 because jointly advertised with Customs and IRS	75% of BSA Documents	78% of BSA Documents	
2011	Prevented Terrorism and Promoted the Nation's Security Through Strengthened International Financial Systems	*	*	Percent of customers who report overall satisfaction with the use of simple query/portal	76% of Customers	80% of Customers	
2012	Prevented Terrorism and Promoted the Nation's Security Through Strengthened International Financial Systems	*	*	Average number of hours from receipt to availability for query or dissemination	114 hrs	105 hrs	
2012	Prevented Terrorism and Promoted the Nation's Security Through Strengthened International Financial Systems	*	*	Number of steps to find initial useful information	40 Steps	10 Steps	
2012	Prevented Terrorism and Promoted the	*	*	Number of work days required to develop	230 Days	173 Days	

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	Nation's Security Through Strengthened International Financial Systems			moderate impact forms change			
2012	Prevented Terrorism and Promoted the Nation's Security Through Strengthened International Financial Systems	*	*	Percent of BSA documents for which data is captured electronically, excludes forms CMIR, FBAR, and 8300 because jointly advertised with Customs and IRS	78% of BSA Documents	83% of BSA Documents	
2012	Prevented Terrorism and Promoted the Nation's Security Through Strengthened International Financial Systems	*	*	Percent of customers who report overall satisfaction with the use of simple query/portal	80% of Customers	85% of Customers	
2013	Prevented Terrorism and Promoted the Nation's Security Through Strengthened International Financial Systems	*	*	Average number of hours from receipt to availability for query or dissemination	105 hrs	101 hrs	
2013	Prevented Terrorism and Promoted the Nation's Security Through Strengthened International Financial Systems	*	*	Reduction in number of steps to find initial useful information	10 Steps	10 Steps	
2013	Prevented Terrorism and Promoted the Nation's Security Through Strengthened International Financial Systems	*	*	Number of work days required to develop moderate impact forms change	173 Days	150 Days	
2013	Prevented Terrorism and Promoted the Nation's Security Through	*	*	Percent of BSA documents for which data is captured electronically, excludes forms	83% of BSA Documents	85% of BSA Documents	

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	Strengthened International Financial Systems			CMIR, FBAR, and 8300 because jointly advertised with Customs and IRS			
2013	Prevented Terrorism and Promoted the Nation's Security Through Strengthened International Financial Systems	*	*	Percent of customers who report overall satisfaction with the use of simple query/portal	85% of Customers	88% of Customers	
2014	Prevented Terrorism and Promoted the Nation's Security Through Strengthened International Financial Systems	*	*	Average number of hours from receipt to availability for query or dissemination	101 hrs	96 hrs	
2014	Prevented Terrorism and Promoted the Nation's Security Through Strengthened International Financial Systems	*	*	Reduction in number of steps to find initial useful information	10 Steps	10 Steps	
2014	Prevented Terrorism and Promoted the Nation's Security Through Strengthened International Financial Systems	*	*	Number of work days required to develop moderate impact forms change	150 Days	115 Days	
2014	Prevented Terrorism and Promoted the Nation's Security Through Strengthened International Financial Systems	*	*	Percent of BSA documents for which data is captured electronically, excludes forms CMIR, FBAR, and 8300 because jointly advertised with Customs and IRS	85% of BSA Documents	88% of BSA Documents	
2014	Prevented Terrorism and Promoted the Nation's Security Through Strengthened	*	*	Percent of customers who report overall satisfaction with the use of simple query/portal	88% of Customers	90% of Customers	

Table 1: Performance Information Table							
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results

International
Financial
Systems

Part II: Planning, Acquisition And Performance Information

Section A: Cost and Schedule Performance (All Capital Assets)

1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline								
Description of Milestones	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Purchase hardware/software for first iteration of establishing development/test and production/disaster recovery infrastructure	\$8.7	\$3.7	2010-05-01	2010-05-01	2010-09-30		42.64%	42.64%
Provide ongoing program management and technical/engineering support	\$2.8	\$1.2	2010-05-01	2010-05-01	2010-09-30		60.00%	60.00%
Provide additional technical/business/	*	*	2010-05-01		2010-09-30		0.00%	0.00%
Purchase hardware/software for second iteration of establishing development/test and production/disaster recovery infrastructure	*	*	2010-10-01		2011-09-30		0.00%	0.00%
Provide ongoing program management and technical/engineering support	*	*	2010-10-01		2011-09-30		0.00%	0.00%
Provide additional technical/business/	*	*	2010-10-01		2011-09-30		0.00%	0.00%
Purchase hardware/software for third iteration of establishing development/test and production/disaster recovery infrastructure	*	*	2011-10-01		2012-09-30		0.00%	0.00%
Provide ongoing	*	*	2011-10-01		2012-09-30		0.00%	0.00%

1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline								
Description of Milestones	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
program management and								
Provide additional technical/business/	*	*	2011-10-01		2012-09-30		0.00%	0.00%
Provide ongoing program management and technical/engineering support	*	*	2012-10-01		2013-09-30		0.00%	0.00%
Provide additional technical/business/	*	*	2012-10-01		2013-09-30		0.00%	0.00%
Provide ongoing program management and technical/engineering support	*	*	2013-10-01		2014-04-30		0.00%	0.00%
Provide additional technical/business/	*	*	2013-10-01		2014-04-30		0.00%	0.00%
Establish development/test infrastructure required to support system development and testing activities	\$1.3	\$0.2	2010-05-17	2010-05-17	2010-09-30		13.04%	13.04%
Establish production/disaster recovery infrastructure to support the registered user portal capability and data conversion activities	\$1.4	\$0.2	2010-05-17	2010-05-17	2011-03-31		17.96%	14.68%
Establish production/disaster recovery infrastructure to support the first release of the new system of	*	*	2011-01-01		2011-09-30		0.00%	0.00%

1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline								
Description of Milestones	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
record and query capability								
Establish production/disaster recovery infrastructure to support the second release of the new system of record and query capability, as well as moving the analytical tool to the Oracle environment	*	*	2011-07-01		2012-06-30		0.00%	0.00%
Complete development to provide the foundation a common user interface and authentication process to access all future BSA IT Mod applications	\$2.8	\$0.4	2010-05-17	2010-05-17	2011-03-31		19.57%	16.85%
Complete the conversion of 11 years of BSA data from the legacy system to the new system of record	\$1.4	\$0.2	2010-05-12	2010-05-12	2011-12-31		12.90%	12.57%
Complete the development of the new BSA system of record and capabilities to disseminate data in bulk extracts to designated external stakeholders	\$2.8	\$0.4	2010-05-17	2010-05-12	2011-09-30		23.71%	18.92%
Complete the expansion of the new system of record capabilities such as third party matching and enhanced data	*	*	2011-10-01		2012-06-30		0.00%	0.00%
Deploy ability to provide	*	*	2011-10-01		2012-09-30		0.00%	0.00%

1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline								
Description of Milestones	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
alerts/notifications on BSA data to users based on pre-defined criteria								
Deploy more robust edits/validations on E-filing submissions to improve data quality	\$2.1	\$0.1	2010-05-12	2010-05-12	2011-09-30		13.05%	12.72%
Expand functionality to provide additional edits/validations and scoring to improve data accuracy	*	*	2011-11-16		2012-06-30		0.00%	0.00%
Provide a new, dynamic interface to allow paper filings to be directly entered into the E-filing system	*	*	2010-09-01		2011-06-30		0.00%	0.00%
Deploy capability to streamline the collection of suspicious activity reports via E-Filing to one collection tool as opposed to five	*	*	2011-07-01		2011-10-31		0.00%	0.00%
Provide ability to query 11 years of converted BSA data in new system of record and produce associated query audit logs	*	*	2011-02-01		2012-02-28		0.00%	0.00%
Expand query capabilities by providing additional third party data validation checks and more enhanced data	*	*	2012-03-01		2012-09-30		0.00%	0.00%

1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline								
Description of Milestones	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Deploy new advanced analytical tool to FinCEN analysts and designated external users on current production environment	\$0.9	\$0.2	2010-06-07	2010-06-07	2010-10-31		25.39%	21.61%
Provide additional, enhanced functionality via new analytical tool to FinCEN analysts and designated external users	*	*	2010-11-01		2011-04-30		0.00%	0.00%
Continue to provide additional analytical capabilities on new, Oracle environment	*	*	2011-05-01		2012-07-31		0.00%	0.00%
Deploy FIR	*	*	2011-10-01		2012-12-31		0.00%	0.00%
Deploy a single source for all FinCEN customer contacts and contact lists to enhance collaboration efforts	*	*	2011-04-01		2012-07-31		0.00%	0.00%
Deploy capabilities to enable financial institutions to more easily comply with law enforcement requests for subject matching	*	*	2010-08-01		2011-05-31		0.00%	0.00%
Deploy capabilities to improve/streamline process for financial institutions to collaborate/share information	*	*	2011-06-01		2011-10-31		0.00%	0.00%
Provide operations maintenance support for infrastructure	*	*	2010-05-01		2010-09-30		79.80%	69.70%

1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline								
Description of Milestones	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
and								
Provide operations maintenance support for infrastructure, government-owned/government operated facility, and business applications	*	*	2010-10-01		2011-09-30		0.00%	0.00%
Provide operations maintenance support for infrastructure, government-owned/government operated facility, and business applications	*	*	2011-10-01		2012-09-30		0.00%	0.00%
Provide operations maintenance support for infrastructure, government-owned/government operated facility, and business applications	*	*	2012-10-01		2013-09-30		0.00%	0.00%
Provide operations maintenance support for infrastructure, government-owned/government operated facility, and business applications	*	*	2013-10-01		2014-09-30		0.00%	0.00%
Provide operations maintenance support for infrastructure, government-owned/government operated facility, and business applications	*	*	2014-10-01		2015-09-30		0.00%	0.00%

1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline								
Description of Milestones	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Provide operations maintenance support for infrastructure, government-owned/government operated facility, and business applications	*	*	2015-10-01		2016-09-30		0.00%	0.00%
Provide operations maintenance support for infrastructure, government-owned/government operated facility, and business applications	*	*	2016-10-01		2017-09-30		0.00%	0.00%
Provide operations maintenance support for infrastructure, government-owned/government operated facility, and business applications	*	*	2017-10-01		2018-09-30		0.00%	0.00%
Provide operations maintenance support for infrastructure, government-owned/government operated facility, and business applications	*	*	2018-10-01		2019-09-30		0.00%	0.00%
Provide operations maintenance support for infrastructure, government-owned/government operated facility, and business applications	*	*	2019-10-01		2020-04-30		0.00%	0.00%
Provide government oversight to day-to-day program	\$5.9	\$0.5	2010-05-01	2010-05-01	2012-12-31		7.80%	7.80%

1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline								
Description of Milestones	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
activities								
Provide government oversight to day-to-day program activities	*	*	2013-01-01		2020-04-30		0.00%	0.00%

* - Indicates data is redacted.